

FORM PTO-1390
(REV. 9-2001)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

5040.1002

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

10/509448INTERNATIONAL APPLICATION NO.
PCT/DE03/03350INTERNATIONAL FILING DATE
8 October 2003PRIORITY DATE CLAIMED
8 October 2003TITLE OF INVENTION
TOUCHLESS BIOMETRIC RECOGNITIONAPPLICANT(S) FOR DO/EO/US
Peter-Michael MERBACH et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☒ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: Application Data Sheet.

U.S. APPLICATION NO. 10/509448 <small>(37 CFR 1.53)</small>		INTERNATIONAL APPLICATION NO. PCT/DE03/03350		ATTORNEY'S DOCKET NUMBER 5040.1002	
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21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1040.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$890.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$740.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$710.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY																															
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ 920.00																															
<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:15%;">CLAIMS</th> <th style="width:15%;">NUMBER FILED</th> <th style="width:15%;">NUMBER EXTRA</th> <th style="width:15%;">RATE</th> <th style="width:15%;">\$</th> <th style="width:15%;"></th> </tr> <tr> <td>Total claims</td> <td>8 - 20 =</td> <td>0</td> <td>x \$18.00</td> <td>\$ 0.00</td> <td></td> </tr> <tr> <td>Independent claims</td> <td>0 - 3 =</td> <td>0</td> <td>x \$84.00</td> <td>\$ 0.00</td> <td></td> </tr> <tr> <td colspan="4">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td>+ \$280.00</td> <td>\$ 0.00</td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL OF ABOVE CALCULATIONS</td> <td>=</td> <td>\$ 920.00</td> </tr> </table>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$		Total claims	8 - 20 =	0	x \$18.00	\$ 0.00		Independent claims	0 - 3 =	0	x \$84.00	\$ 0.00		MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$280.00	\$ 0.00	TOTAL OF ABOVE CALCULATIONS				=	\$ 920.00	\$ 0.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$																															
Total claims	8 - 20 =	0	x \$18.00	\$ 0.00																															
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TOTAL OF ABOVE CALCULATIONS				=	\$ 920.00																														
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$ -460.00																															
SUBTOTAL				= \$ 460.00																															
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ 0.00																															
TOTAL NATIONAL FEE				= \$ 460.00																															
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$ 40.00																															
TOTAL FEES ENCLOSED				= \$ 500.00																															
Amount to be refunded:				\$																															
charged:				\$																															

a. ☒ A check in the amount of \$ 500.00 F to cover the above fees is enclosed.

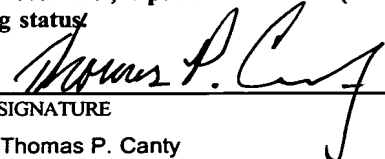
b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
 A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
 overpayment to Deposit Account No. 50-0552. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
 information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:
 DAVIDSON, DAVIDSON & KAPPEL, LLC
 485 Seventh Avenue, 14th Floor
 New York, NY 10018
 (212) 736-1940


 SIGNATURE
 Thomas P. Canty
 NAME
 44,586
 REGISTRATION NUMBER


Certificate of Mailing By Express Mailing under 37 CFR 1.10

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Mark McLean

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Re.: Docket No.: 5040.1002
Applicant(s): Peter-Michael MERBACH et al.
Serial No.: To be assigned
Invention: TOUCHLESS BIOMETRIC RECGNITION
Filing Date: Herewith

- Transmittal Letter to the U.S. Designated/Elected Office Concerning a Filing Under 35 U.S.C. 371 (2 pages);
- Copy of Int. Patent Application PCT/DE03/03350 w/ Int. Search Report (8 + 8 pages);
- Translation of Int. Patent Application PCT/DE03/03350 (7 pages);
- One (1) Sheet of Drawings
- Preliminary Amendment (6 pages);
- Copy of executed Declaration & Power of Attorney (2 pages);
- Recordation cover and copy of executed Assignment (6 pages)
- Application Data Sheet (2 pages);
- Information Disclosure Statement w/ PTO-1449, brief translation of International Search Report, and Copies of Cited References;
- Check in the amount of \$500.00;
- Confirmation Postcard